DOCUMENT RESUME

ED 374 564 EA 026 146

TITLE	Effective Principal Behaviors.
INSTITUTION	Research for Better Schools, Inc., Philadelphia, Pa.
SPONS AGENCY	Office of Educational Research and Improvement (ED), Washington, DC.
PUB DATE	Jan 87
CONTRACT	400-86-0003
NOTE	13p.
PUB TYPE	Information Analyses (070)
EDRS PRICE	MF01/PC01 Plus Postage.
DESCRIPTORS	*Administrator Effectiveness; Administrator Responsibility; *Administrator Role; Elementary Secondary Education; Group Unity; *Leadership; *Leadership Styles; *Principals; School Effectiveness

ABSTRACT

This paper summarizes research findings related to the performance behaviors of effective school principals. It identifies eight characteristics of effective schools: (1) schoolwide measurement and recognition of academic success; (2) high emphasis on curriculum articulation; (3) support for instructional tasks; (4) high expectations and clear goals for student performance; (5) collaborative planning with the faculty; (6) instructional leadership; (7) an orderly, studious environment; and (8) parental support for student education. Principal behaviors to promote the eight characteristics are outlined. The broad dimensions of the principal's role--the administrative-managerial role and the educational leadership role--are also discussed. The educational leadership dimension seeks to change the behavior of those involved in teaching-learning toward achieving school goals, and to build a cohesive social system within the school that is committed to school goals. Coupled with the supervisory functions of the administrative-managerial dimension, the educational leadership dimension is crucial for school effectiveness. (LMI)

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EFFECTIVE PRINCIPAL BEHAVIORS

Prepared for the
Advisory Council for the Development of a Performance
Appraisal System for Building Level Administrators
Delaware Department of Public Distribution

By

Research for Better Schools, Inc.
444 N. Third Street
Philadelphia, PA 19123

January 1987

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
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EA 026 146

BEST COPY AVAILABLE

This paper was prepared for members of the Delaware Advisory Council for the Development of a Performance Appraisal System for Building Level Administrators. The paper summarizes research findings related to the performance behaviors of effective school principals. The paper focuses on the school principal since there is a paucity of information on other administrative roles at the building level.

The paper first discusses the concept of effective schools and effective principals. It then identifies behaviors of principals which are associated with the characteristics of effective schools and presents examples or indicators of each of these behaviors. It closes with a discussion of two basic dimensions of the role of principals.

Effective Schools and Effective Principals

A thorough search of research information on principal behaviors failed to uncover any work which directly correlates principal behaviors with student achievement. The search did, however, reveal several studies which correlate principal behaviors with effective schools. Effective schools have been defined as those schools which obtain significant increases in student performance for targeted populations (Evans). Edmonds in his "Search for Effective Schools" (1978) concluded that school leadership made a difference in whether or not a school was effective.

In 1971, Weber listed "strong leadership from the principal" as a characteristic of "successful" schools (Weber 1971). Similarly in 1975, Lezotte, Edmonds, and Ratner also identified "the principal as an instructional leader" as one "characteristic of effective schools" (Lezotte, Edmonds, Ratner 1975). Finally in 1982, Bossert and his colleagues at Far West Laboratory for Educational Research and Development focused on the role of the principal in creating effective schools. They found the

following general behaviors common to principals in effective schools:

- Principals emphasize achievement by setting goals, developing performance standards for students, and expressing optimism that students will be able to meet the goals.

- Principals are more active and powerful in the areas of curriculum and instruction. They make decisions in these areas. Principals can leverage district support and resources for improvement of curriculum and instruction. Further, these principals understand community power structures and maintain appropriate relationships with parents.

- Principals devote more time to coordination and control of instruction and are more skillful at the tasks involved. They observe teachers more. They discuss teachers' problems more, and are more supportive of teachers' improvement efforts. They promote in-service opportunities and are more active in setting up teacher and program evaluations.

A research team (Russell, White, and Maurer, 1982) completed a pilot study designed to build a framework for examining the behaviors of secondary principals which are linked to the characteristics of effective schools. The research team reviewed effective schools studies at both the elementary and secondary level. From their findings, they identified eight characteristics of effective schools that are observable, that are not primarily the result of student academic success, and that can be directly and strongly affected by principal behavior. Their eight such characteristics are:

- school-wide measurement and recognition of academic success
- high emphasis on curriculum articulation
- support for instructional tasks
- high expectations and clear goals for student performance
- collaborative planning with faculty
- instructional leadership
- an orderly and studious school environment
- parental support for the education of students

Effective Principal Behaviors

This section utilizes the eight characteristics of effective schools to identify the behaviors of principals which are associated with effective

schools. Under each characteristic are displayed those behaviors which research has identified as being related to effective schools and which are appropriate for that characteristic. For each identified behavior, several specific examples or indicators of this behavior are also provided.

I. SCHOOL-WIDE MEASUREMENT AND RECOGNITION OF ACADEMIC SUCCESS

1. Principals make special or unusual efforts to recognize academic success (Hallinger 1983).
   a. bring in outstanding speakers from the National Honor Society (Russell et al., 1984)
   b. display academic awards in the school trophy case (Russell et al., 1984)
   c. attend a local organization's function held to honor students (Hallinger 1983)
   d. put student success stories in a student newspaper, announcement, newsletter or billboard (Russell et al., 1984).

2. Principals set up ongoing systems to recognize success (Russell et al., 1984).
   a. arrange for regular publication of academic success stories in the community newspaper (Russell et al., 1984)
   b. plan regularly scheduled awards assemblies in all categories of student performance (Russell et al., 1984)
   c. publish an annual report of academic achievement that is mailed to students' homes (Russell et al., 1984)
   d. plan annual insert for the high school graduation program to announce scholarships and awards (Russell et al., 1984)

3. Principals encourage the use of standardized testing (Russell et al., 1984).
   a. establish a process to evaluate and measure student achievement (Russell et al., 1984)
   b. pass out information on SAT scores (Russell et al., 1984)
   c. convince faculty that district general ability tests are important yardsticks of student performance (Russell et al., 1984)
   d. push standarized testing for subject area tests (Russell et al., 1984).

4. Principals give personal recognition to individual students for specific academic achievements (Russell et al., 1984)
   a. present award certificates in person at the end of each grading period (Hallinger 1983)
   b. use honor society students for school visitation or ongoing activities (Hallinger 1983)
   c. attend honor society meetings (Russell et al., 1984)
   d. acknowledge students' accomplishments in the hall (Russell et al., 1984).

II. HIGH EMPHASIS ON CURRICULUM ARTICULATION

1. Principals ensure that scope and sequence exist and are being adhered to (Russell et al., 1984).
   a. publish a curriculum guide (Russell et al., 1984)
   b. check to see if what is being taught in the departments is within the K-12 scope and sequence (Russell et al., 1984)
   c. attend curriculum meetings with teachers (Russell et al., 1984)
   d. prepare written scope and sequence programs for the entire twelve grades so that grades 9-12 mesh with grades 1-8 (Russell et al., 1984).

2. Principals expect teachers to be aware of the school's various curricula (Russell et al., 1984).
   a. require teachers to know the course curriculum guide statement (Russell et al., 1984)
   b. rotate meetings to different classrooms so each curriculum area can be reviewed by all teachers (Russell et al., 1984)
   c. develop small groups of teachers for planning of curriculum (Russell et al., 1984).
   d. meet regularly with small planning groups of teachers on curriculum matters (Russell et al., 1984).

3. Principals demonstrate knowledge and interest in each curriculum (Hallinger, 1983).
   a. attend workshops on new curricula (Russell et al., 1984)
   b. coordinate effectively the school's curriculum (Hallinger, 1983)
   c. articulate the purpose of each curriculum to the community at board meetings and public meetings (Russell et al., 1984)
   d. set aside days to do curriculum work by extended contract money (Russell et al. 1984).

III. SUPPORT FOR INSTRUCTIONAL TASKS

1. Principals respond to teacher decisions and needs with direct action (Russell et al., 1984).
   a. defend a teacher who is criticized for a perceived wrong in a classroom (Russell et al., 1984)
   b. support teachers' decisions in a conflict over grades (Russell et al., 1984)
   c. listen to teacher complaints as evidenced by clearing desk of other work, taking notes, and paraphrasing and giving feedback (Russell et al., 1984)
   d. listen to teachers on instructional matters (Russell et al., 1984).

2. Principals provide atmosphere and resources to complete staff instructional tasks (Weber 1971).
   a. provide extra pay for after hours planning (Russell et al., 1984)
   b. set up a committee of teachers to plan ways to have fewer interruptions in the school day (Russell et al., 1984)

c. set the tone for the school and assume responsibility for instruction (Weber 1971)
d. push the district superintendent to provide money for the needs of the school (Russell et al., 1984)

IV. HIGH EXPECTATIONS AND CLEAR GOALS FOR STUDENT PERFORMANCE

1. Principals encourage students to pursue challenging goals (Russell et al., 1984).
   a. encourage students to take highly challenging courses (Russell et al., 1984)
   b. encourage students to compete in academic or other contests (Russell et al., 1984)
   c. explain academic goals of the school to students at the beginning of every year (Brookover 1979)
   d. frequently mention the high academic standing of the school in addressing students (Russell et al., 1984).

2. Principals establish school-wide academic requirements (Russell et al., 1984).
   a. establish English requirement for all seniors whereby students in all classes must turn in papers with correct grammar and writing (Russell et al., 1984)
   b. refuse to pass students who do not pass minimum competencies (Russell et al., 1984)
   c. insist that seniors attend school all day, even if they only need to attend half days to meet minimum graduation requirements (Russell et al., 1984)
   d. set a goal to improve student attitudes concerning the quality of school life (Russell et al., 1984).

3. Principals set instructional standards for teachers.
   a. encourage teachers to teach the entire class time (Russell et al., 1984)
   b. require a minimum of one instructional goal per year for each teacher relating to student performance (Russell et al., 1984)
   c. develop course outline sheet for school which uses objectives, units of instruction, methods of instruction and unit evaluation (Russell et al., 1984)
   d. use progress reports to clarify student goals where needed (Russell et al., 1984)

4. Principals evaluate student progress frequently.
   a. monitor student achievement on a regular basis (Edmonds 1978, Madden 1976, Hallinger 1983)
   b. establish awards systems for achievement (Bossert et al., 1982)
   c. establish policy to deal with students who are not studying (Russell et al., 1984)
   d. write letter to students who did well (Russell et al., 1984).

V. COLLABORATIVE PLANNING WITH FACULTY

1. Principals listen actively to faculty ideas and create opportunities for faculty to express ideas (Russell et al., 1984).
   a. attend planning meeting (Hallinger 1983)
   b. set up planning sessions to discuss learning ideas with faculty (Russell et al., 1984)
   c. establish curriculum committees (Bossert et al., 1982)
   d. establish academic advisory committee to meet regularly (Bossert et al., 1982)

2. Principals provide resources and a supportive environment for collaborative planning (Russell et al., 1984).
   a. provide off-site premises, time, supplies and a supportive environment for collaborative planning (Russell et al., 1984)
   b. ask for volunteers for extra duty (Russell et al., 1984)
   c. provide faculty in the same disciplines the opportunity to work on class preparations at the same time (Russell et al., 1984)
   d. schedule meeting time for collaborative planning (Bossert et al., 1982).

3. Principals establish school-wide goals and programs through faculty input and participation (Russell et al., 1984).
   a. establish school-wide instructional goals with the collaboration of faculty (e.g., raising reading scores, adding three social studies course) (Russell et al., 1982)
   b. engage in non-judgmental discussions with faculty about instructional ideas (Russell et al., 1984)
   c. provide meeting time for school planning (Hallinger 1983)
   d. use faculty recommendations (Russell et al., 1984).

VI. INSTRUCTIONAL LEADERSHIP

1. Principals take an active role in planning, conducting, implementing, and evaluating inservice training (Russell et al., 1984).
   a. plan a staff development program (Hallinger 1983)
   b. personally instruct teachers in particular techniques (Russell et al., 1984)
   c. send teachers flyers about conferences in their subject areas (Russell et al., 1984)
   d. personally teach an instructional strategy course (Russell et al., 1984).

2. Principals provide direction and support for individual teachers to eliminate poor instructional performance (Russell et al., 1984)
   a. set up a plan for teacher improvement (Russell et al., 1984)
   b. assign effective teachers to work with weaker ones (Russell et al., 1984)
   c. establish a formal network among the faculty for sharing information on how to teach (Russell et al., 1984)
   d. redirect teachers to take courses for development in areas they need instead of areas they merely enjoy (Russell et al., 1984).

3. Principals provide direct instructional leadership in one-to-one interactions with individual teachers (Russell et al., 1984).
   a. assist a teacher in a classroom lesson (Russell et al., 1984)
   b. send a teacher specific material related to a topic covered during a class visit (Russell et al., 1984)
   c. make sure specifics of each teacher's classroom performance are evaluated (Russell et al., 1984)
   d. model behavior for a teacher who is having problems teaching (Russell et al., 1984).

4. Principals develop instructional strategies (Madden, 1976).
   a. are involved in instructional decision-making (Madden 1976)
   b. accept responsibility for decisions about methods, materials, and evaluation procedures (Wellisch 1978)
   c. develop plans for solving students' learning problems (Edmonds 1978, Brookover 1977)
   d. use central office resources to develop strategies (Wellisch 1978).

5. Principals coordinate instructional programs (Wellisch 1978).
   a. Interrelate content, objectives and materials in all grades (Wellisch 1978)
   b. oversee that teaching in the classroom has bearing on the overall goals and program of the school (Brookover 1979)
   c. review weekly lesson plans of teachers (Madden 1976)
   d. make classroom observations (Madden 1976).

VII. AN ORDERLY AND STUDIOUS SCHOOL ENVIRONMENT

1. Principals enforce discipline personally (Russell et al., 1984).
   a. confront students who are "goofing off" in study hall (Russell et al., 1984)
   b. explain rules of conduct in person at an orientation convocation (Russell et al., 1984)
   c. are highly visible in the hallways and classrooms (Brookover 1979)
   d. inform students what is expected during an upcoming assembly; praise students in advance for being orderly (Russell et al., 1984).

2. Principals establish and enforce a clear code of conduct rules such as attendance and absence policies (Russell et al., 1984).
   a. publish a guide book for "code of conduct" (including absences) for students (Russell et al., 1984)
   b. have school rules regarding attendance posted in hallways (Russell et al., 1984)
   c. write an attendance plan that allows a clear response for reporting absences (Russell et al., 1984)
   d. review changes in absence and tardy policy (Russell et al., 1984).

3. Principals provide support and back-up for enforcement of discipline (Russell et al., 1984).

a. follow suspension policy as set up by the school (Russell et al., 1984)
b. set up an in-school "suspension room" for discipline problem students (Russell et al., 1984)
c. bring in experts to teach teachers how to deal with disruptive students (Russell et al., 1984)
d. call in police when necessary (Russell et al., 1984).

4. Principals do what is necessary to ensure that the school's climate is conducive to learning (Edmonds 1978).
   a. insure that school's climate is quiet, pleasant, and well maintained (Edmonds 1978)
   b. limit outside interruptions of classroom instructional time: e.g., tardiness of students, public address announcements and student visits to the office (Hallinger 1983)
   c. encourage teachers to start instruction on time and teach to the end of the class period (Hallinger 1983)
   d. set the tone for the school and assume responsibility for instruction and allocation of resources to reach school goals (Weber 1971).

VIII. PARENTAL SUPPORT FOR THE EDUCATION OF STUDENTS

1. Principals obtain active parental involvement in school activities (Russell et al., 1984).
   a. create a parent fundraising group to promote excellence in the school (Russell et al., 1984)
   b. establish a parent volunteer program to provide lunchtime supervision (Russell et al., 1984)
   c. set up parent teams to help students schedule classes (Russell et al., 1984)
   d. solicit parental involvement in goal setting (Russell et al., 1984).

2. Principals communicate personally with parents of individual students (Russell et al., 1984).
   a. inform parents about student achievements (Russell et al., 1984)
   b. set aside time to talk with parents of students having trouble (Russell et al., 1984)
   c. meet with a parent who comes in with no appointment (Russell et al., 1984)
   d. call the parents of students who are to receive awards (Russell et al., 1984).

3. Principals inform parents of special programs and activities (Russell et al., 1984).
   a. send monthly newsletters to parents announcing activities and student achievements (Russell et al., 1984)
   b. establish and distribute a guide for parents to help students with studies at home (Russell et al., 1984)
   c. arrange for a school orientation program for parents of incoming students (Russell et al., 1984)

d. arrange for evening meetings to explain the long-term curriculum plan to parents (Russell et al., 1984)

Broad Role Dimensions

Another view of the performance of principals is provided by considering the broad dimensions of their role. Roe analyzed the job of the principal and divided it into two broad dimensions: administrative-managerial and educational leadership (Roe 1980).

The administrative-managerial dimension of the principal's role focuses on those tasks that have to do with the smooth operation of the schools. It deals with instruction as well as the resources to back-up instruction. However, under this dimension, the principal limits herself or himself to overseeing and supervising the programs and teaching processes required by the central office. Major duties involved with this dimension are: enforcing student discipline, monitoring programs and instructional processes, and communicating to the students, staff, and the school's community. These duties are essentially routine, managerial, and supervisory, and utilize the prescriptive authority of the central administration (Roe 1980).

The educational leadership dimension is concerned with (1) changing the behavior of those involved in teaching-learning acts toward greater achievement of the goals of the school, and (2) building a cohesive social system within a school that "pulls together" to the school's goals (Roe 1980). In such a system, all faculty and students work harmoniously in defining, interpreting, and establishing school goals; developing a dynamic curriculum; and implementing educational processes that create a stimulating and productive learning environment for every student.

Some of the functions of the principal under this dimension are to

stimulate and motivate staff to maximum performance, provide channels for involvement of the community in the operation of the school, and develop cooperatively with the faculty a dynamic professional development and inservice education program (Roe 1980).

Research evidence indicates that the educational leadership dimension of the principal's role is critical in influencing the school's effectiveness. The evidence does not suggest that the administrative-managerial dimension can or should be ignored.

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